



RECEIVED

2164

FEB 04 2002

Technology Center 2100

PATENTS

Attorney Docket CF/019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Philip M. Ginsberg et al.
Application No.: 09/853,430
Confirm. No. : 6761
Filed : May 10, 2001
For : SYSTEMS AND METHODS FOR ANONYMOUS
ELECTRONIC TRADING
Group Art Unit : 2164

Honorable Commissioner
for Patents
Washington, D.C. 20231

New York, New York 10020
January 15, 2002

TRANSMITTAL LETTER FOR
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is a Supplemental Information Disclosure Statement in the above-identified application. This Statement is submitted more than three months from the application filing date, but before the mailing date of the first Office Action on the merits and before the mailing date of either a final action under 37 C.F.R. § 1.113 or a notice of allowance under 37 C.F.R. § 1.311. Thus, no fee is required at this time.

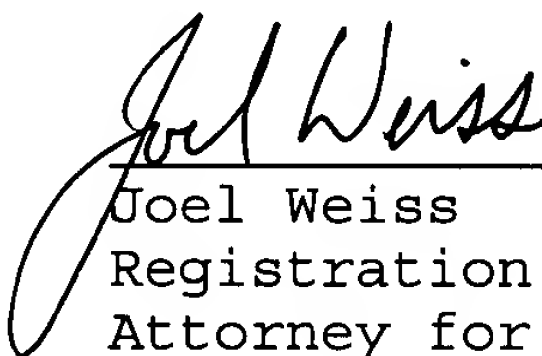
In accordance with 37 C.F.R. § 1.98, this Statement
is accompanied by:

[X] a certification as required under 37 C.F.R.
§ 1.97(e)(1) or § 1.97(e)(2);

[] the fee as set forth in 37 C.F.R. § 1.17(p).

The Director is hereby authorized to charge payment
of any additional fees required in connection with the
accompanying Supplemental Information Disclosure Statement, or
credit any overpayment, to Deposit Account No. 06-1075. A
duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



Joel Weiss
Registration No. 44,398
Attorney for Applicants
Fish & Neave
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1104
Tel.: (212) 596-9000

I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to:
COMMISSIONER FOR
PATENTS
P.O. Box 2327
Arlington, VA 22202 on


William Garcia

January 15, 2002
Signature of Person Signing



PATENTS
Attorney Docket CF/019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Philip M. Ginsberg et al.
Application No.: 09/853,430
Confirm. No. : 6761
Filed : May 10, 2001
For : SYSTEMS AND METHODS FOR ANONYMOUS
ELECTRONIC TRADING
Group Art Unit : 2164

RECEIVED
FEB 04 2002
Technology

Honorable Commissioner
for Patents
Washington, D.C. 20231

New York, New York 10020
January 15, 2002

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT PURSUANT TO 37 C.F.R. § 1.97(c)

Sir:

Pursuant to 37 C.F.R §§ 1.56 and 1.97, applicants
hereby make the following patents of record in the
above-identified application:

U.S. Patents

6,061,789	Hauser	(05/09/2000)
6,098,051	Lupien et al.	(08/01/2000)

Foreign Patent Documents

WO 01/27836 PCT (04/19/2001)

EP 1 100 030 EPO (05/15/2001)

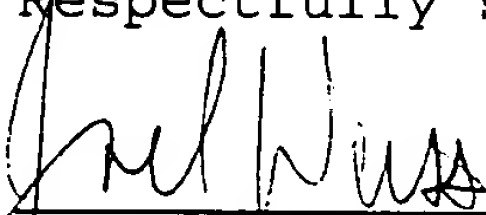
Copies of the aforementioned references, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

Certification Pursuant
to 37 C.F.R. § 1.97(e)

The information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement. In particular, these references were cited in an October 26, 2001 International Search Report in applicants' corresponding PCT patent application PCT/US01/41525. A copy of that Search Report is enclosed herewith.

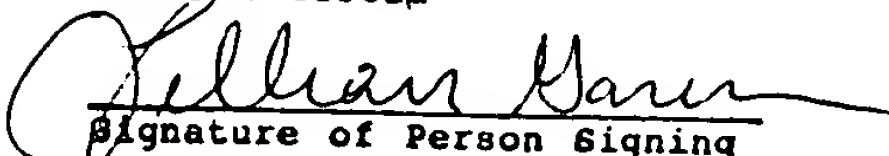
Consideration of the foregoing in relation to this patent application is respectfully requested.

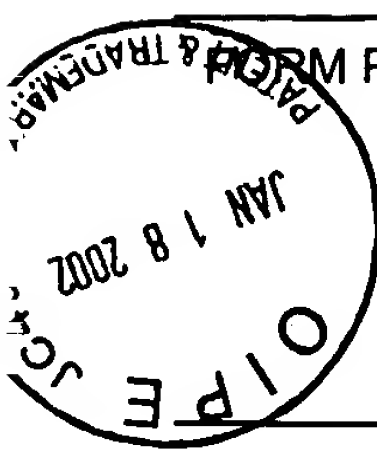
Respectfully submitted,


Joel Weiss
Registration No. 44,398
Attorney for Applicants
Fish & Neave
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1104
Tel.: (212) 596-9000

I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
Postal Service as First
Class Mail in an Envelope
Addressed to:
COMMISSIONER FOR
PATENTS P.O. Box 2327
ARLINGTON, VA 22202 on

January 15, 2002
Lillian Garcia


Signature of Person Signing



FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANTS	ATTY. DOCKET NO. CF/019	APPLICATION NO. 09/853,430
	APPLICANTS Ginsberg et al.	
	FILING DATE 05/10/2001	GROUP 2164

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,061,789	05/09/2000	Hauser			
	6,098,051	08/01/2000	Lupien et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 01/27836	04/19/2001	PCT				
	EP 1 100 030	05/15/2001	EPO				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

RECEIVED

FEB 04 2002

Technology Center 2100

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.